

ANNUAL SYNAR REPORT

42 U.S.C. 300x-26

OMB № 0930-0222

FFY 2005



U.S. DEPARTMENT OF HEALTH AND HUMAN SERVICES
Substance Abuse and Mental Health Services Administration
Center for Substance Abuse Prevention
www.samhsa.gov

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INTRODUCTION

The Annual Synar Report (ASR) format provides the means for States to comply with the reporting provisions of the Public Health Service Act (42 U.S.C. 300x-26) and the Tobacco Regulation for the SAPT Block Grant (45 C.F.R. 96.130 (e)).

Public reporting burden for the collection of information is estimated to average 15 hours for Section I and 3 hours for Section II, including the time for reviewing instructions, completing and reviewing the collection of information, searching existing data sources, and gathering and maintaining the data needed. Send comments regarding this burden estimate or any other aspect of this collection of information, including suggestions for reducing the burden, to SAMHSA Reports Clearance Officer; Paperwork Reduction Project (0930-0222); 1 Choke Cherry Road, 7th Floor Rockville, Maryland 20857

An agency may not conduct or sponsor and a person is not required to respond to a collection of information unless it displays a currently valid OMB control number. The OMB control number for this project is 0930-0222 with an expiration date of 08/31/2007.

How the Synar report helps the Center for Substance Abuse Prevention

In accordance with the tobacco regulations, States are required to provide detailed information on progress made in enforcing youth tobacco access laws (FFY xxxx Compliance Progress) and future plans to ensure compliance with the Synar requirements to reduce youth tobacco access rates (FFY xxxx Intended Use Plan). These data are required by 42 U.S.C. 300x-26 and will be used by the Secretary to evaluate State compliance with the statute. Part of the mission of the Center for Substance Abuse Prevention (CSAP) is to assist States¹ by supporting Synar activities and providing technical assistance helpful in determining the type of enforcement measures and control strategies that are most effective. This information is helpful to CSAP in improving technical assistance resources and expertise on enforcement efforts and tobacco control program support activities, including State Synar Program support services, through an enhanced technical assistance program involving conferences and workshops, development of training materials and guidance documents, and on-site technical assistance consultation.

How the Synar report can help States

The information gathered for the Synar report can help States describe and analyze sub-State needs for program enhancements. These data can also be used to report to the State legislature and other State and local organizations on progress made to date in enforcing youth tobacco access laws when aggregated statistical data from State Synar reports can demonstrate to the Secretary the national progress in reducing youth tobacco access problems. This information will also provide Congress with a better understanding of State progress in implementing Synar, including State difficulties and successes in enforcing retailer compliance with youth tobacco access laws.

¹The term State is used to refer to all the States and territories required to comply with Synar as part of the Substance Abuse Prevention and Treatment Block Grant Program requirements (42 U.S.C. 300x-64 and 45 C.F.R. 96.121).

Getting assistance in completing the Synar report

If you have questions about programmatic issues, you may call CSAP's Division of State and Community Systems Development at (301) 443-0369 and ask for your respective State Project Officer, or contact your State Project Officer directly by telephone or e-mail using the directory provided. If you have questions about fiscal or grants management issues, you may call the Grants Management Officer, Office of Program Services, Division of Grants Management, at (301) 443-4456.

Where and when to submit the Synar report

The Annual Synar Report (ASR) must be received by SAMHSA no later than December 31, 2004. The ASR must be submitted in the **approved OMB report format**. Use of the approved format will avoid delays in the review and approval process. The chief executive officer (or an authorized designee) of the applicant organization must sign page 1 of the ASR certifying that the State has complied with all reporting requirements.

Submit one signed original of the report, one additional copy, and an electronic version on either CD-ROM or 3.5" diskette to the Grants Management Officer at the address below:

Grants Management Officer
Office of Program Services, Division of Grants Management
Substance Abuse and Mental Health Services Administration

Regular Mail:

1 Choke Cherry Road, 7th Floor
Rockville, Maryland 20857

Overnight Mail:

1 Choke Cherry Road, 7th Floor
Rockville, Maryland 20850

FFY 2005: FUNDING AGREEMENTS/CERTIFICATIONS

The following form must be signed by the Chief Executive Officer or an authorized designee and submitted with this application. Documentation authorizing a designee must be attached to the application.

PUBLIC HEALTH SERVICES ACT AND SYNAR AMMENDMENT	
42 U.S.C. 300x-26 requires each State to submit an annual report of its progress in meeting the requirements of the Synar Amendment and its implementing regulation (45 C.F.R. 96.130) to the Secretary of the Department of Health and Human Services. By signing below, the chief executive officer (or an authorized designee) of the applicant organization certifies that the State has complied with these reporting requirements and the certifications as set forth below.	
SYNAR SURVEY SAMPLING METHODOLOGY	
The State certifies that the Synar survey sampling methodology on file with the Center for Substance Abuse Prevention and submitted with the Annual Synar Report for FFY 2005 is up-to-date and approved by the Center for Substance Abuse Prevention.	
SYNAR SURVEY INSPECTION PROTOCOL	
The State certifies that the Synar Survey Inspection Protocol on file with the Center for Substance Abuse Prevention and submitted with the Annual Synar Report for FFY2005 is up-to-date and approved by the Center for Substance Abuse Prevention.	
State: <u>Rhode Island</u>	
Name of Chief Executive Officer or Designee: <u>Donald L. Carcieri</u>	
Signature of CEO or Designee:	
Title: <u>Governor</u>	Date Signed: _____
If signed by a designee, a copy of the designation must be attached	

SECTION I: FFY 2004 (Compliance Progress)

YOUTH ACCESS LAWS, ACTIVITIES, AND ENFORCEMENT

42 U.S.C. 300x-26 requires the States to report information regarding the sale/distribution of tobacco products to individuals under age 18.

1. Please indicate any changes or additions to the State tobacco statute(s) relating to youth access since the last reporting year. Please attach a photocopy of the change(s) in the State law(s) if any was made since the last reporting year. (See 42 U.S.C. 300x-26)

- a. Has there been a change in the *minimum sale age* for tobacco products?

☐ Yes ☒ No

If Yes, current minimum age: ☐ 19 ☐ 20 ☐ 21

- b. Have there been any changes in State law that impact the State's *protocol for conducting Synar inspections*? ☐ Yes ☒ No

If Yes, indicate change (check all that apply):

- ☐ Changed to require that law enforcement conduct inspections of tobacco outlets
☐ Changed to make it illegal for youth to possess, purchase or receive tobacco
☐ Changed to require ID to purchase tobacco
☐ Other change(s) (please describe): _____

- c. Have there been any changes in the law concerning *vending machines*?

☐ Yes ☒ No

If Yes, indicate change (check all that apply):

- ☐ Total ban enacted
☐ Banned from location(s) accessible to youth
☐ Locking device or supervision required
☐ Other change(s) (please describe): _____

- d. Have there been any changes in State law that impact the following?

Licensing of tobacco vendors ☐ Yes ☒ No
Penalties for sales to minors ☐ Yes ☒ No

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2. Describe how the Annual Synar Report (see 45 C.F.R. 96.130(e)) and the State Plan (see 42 U.S.C. 300x-51) were made public within the State. (Check all that apply)

- ☐ Placed on file for public review
☒ Posted on a State agency Web site
☐ Notice published in a newspaper or newsletter
☐ Public hearing
☐ Announced in a news release, a press conference, or discussed in a media interview

- ☐ Distributed for review as part of the SAPT Block Grant application process
- ☐ Distributed through the public library system
- ☐ Published in an annual register
- ☒ Other change(s) (please describe): Governor's Council & MHRH Website

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Required under 45 C.F.R. 96.130(e) and the State Plan as provided in 42 U.S.C. 300x-51. The Division annually presents the Synar Report on the MHRH Website and to the Governor's Council on Behavioral Health for public comment. The Governor's Council is, by statute, comprised of representatives of substance abuse treatment and prevention professionals, mental health treatment professionals, consumers of both substance abuse and mental health services, family members of children or elderly consumers of substance abuse and mental health services, members of the judiciary, criminal justice officials, the state mental health advocate, the executive directors of both the Drug and Alcohol Treatment Association and the Council of Community Mental Health Organizations as well as related state department directors or designees, including the Department of Children, Youth and Families, Corrections, Education, Human Services, Elderly Affairs and the Department of MHRH, as well as four members of the legislature representing each of the major political parties, two of which represent the House and 2 representing the Senate. The Council also has a number of members representing racial or ethnic minorities. The composition of the council is extremely diverse, representing all related aspects of substance abuse and mental health, government, providers, consumers and the public at large. Additionally, each community Substance Abuse Prevention Task Force is given their individual community results and are, by contract, required to have these results published in their local newspapers. The 39 local police municipalities are also given a copy of the results to assist with their ongoing enforcement efforts. Also, the Department of Mental Health, Retardation and Hospitals issues a press release with the current year survey results to the local newspapers and as an enclosure with a cover letter to other State Departments. This year we will continue to be post the statewide results on the Departments web page.

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3. Identify the following agency or agencies. (See 42 U.S.C. 300x-26 and 45 C.F.R. 96.130)

a. The State agency(s) designated by the Governor for oversight of the Synar requirements:

Mental Health, Retardation & Hospitals

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Has this changed since last year's Annual Synar Report? ☐ Yes ☒ No

b. The State agency(s) responsible for conducting random, unannounced Synar inspections:

Mental Health, Retardation & Hospitals

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Has this changed since last year's Annual Synar Report? ☐ Yes ☒ No

c. The State agency(s) responsible for enforcing youth tobacco access law(s):

Mental Health, Retardation & Hospitals

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Has this changed since last year's Annual Synar Report? ☐ Yes ☒ No

4. Identify the State agency(s) responsible for tobacco prevention control activities.

Department of Health, Mental Health, Prevention & Hospitals

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Has the responsible agency changed since last year's Annual Synar Report?

☐ Yes ☒ No

a. Describe the coordination and collaboration that occur between the agency responsible for tobacco control and the agency responsible for oversight of the Synar requirements. The two agencies (check all that apply):

- ☐ Are the same
- ☐ Have a formal written memorandum of agreement
- ☒ Have an informal partnership
- ☒ Conduct joint planning activities
- ☐ Combine resources
- ☒ Have other collaborative arrangement(s) (please describe):

The Department of Mental Health, Retardation and Hospitals has been working closely with the Department of Health on the issues of Tobacco Control and prevention in the State of Rhode Island. Each of the departments have been working with the local municipal Substance Abuse Prevention Task Forces on vendor education, community education and promotion of prevention activities. We are also working closely together on our media campaigns trying to maximize the impact of the funds that we each have available. Some recent collaboration has been in the areas of legislative agendas and Tobacco Control Strategic Planning.

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5. Please answer the following questions regarding the State's activities to enforce the youth access to tobacco law(s) in FFY 2004. (See 42 U.S.C. 300x-26 and 45 C.F.R. 96.130(e))

a. Which one of the following describes the enforcement of youth access to tobacco laws carried out in your State? (Check one category only)

- ☒ Enforcement is conducted exclusively by local law enforcement agencies.
- ☐ Enforcement is conducted exclusively by State agency(s).
- ☐ Enforcement is conducted by both local and State agencies.

b. The following items concern penalties imposed for violations of youth access to tobacco laws by

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PENALTY	NOT APPLICABLE	NOT AVAILABLE	TOTAL	If Available	
				OWNERS	CLERKS
Number of citations issued			107		
Number of fines assessed		<input type="checkbox"/>	634		
Number of permits/licenses suspended	<input type="checkbox"/>	<input type="checkbox"/>	0		
Number of permits/licenses revoked	<input type="checkbox"/>	<input type="checkbox"/>	0		
Other (please describe):					

c. What additional activities are conducted in your State to support enforcement and compliance with State tobacco access law(s)? (Check all that apply)

- ☒ Merchant education and/or training
- ☐ Incentives for merchants who are in compliance (e.g., Reward and Reminder)
- ☒ Community education regarding youth access laws
- ☒ Media use to publicize compliance inspection results
- ☒ Community mobilization to increase support for retailer compliance with youth access laws
- ☐ Other activities (please list): _____

Briefly describe all checked activities:

Strengths and Challenges of Enforcement:

Rhode Island was significantly challenged this year to the enforcement of RI Gen. Law 11-9-13. The most significant strength this year was our collaboration with the Chief 's of Police Association. By opening the lines of communication with the Chief 's of Police Association we were able cooperate at the highest level of the organization, which led to more enforcement activities this year. This was also reflected in our sale rate this year. Also, many of the cities in Rhode Island are experiencing financial hardship due to a shortage of funds which affected their ability to perform enforcement activities. In many police departments there has been an increase in turnover with a reduction of hiring. This has affected the amount Tobacco Enforcement completed this year.

Supporting Activities:

There was a press release issued by The Department of Mental Health, Retardation and Hospitals regarding the results of last years annual survey results. A number of newspaper articles and letters to the editor were also written in Rhode Island regarding Tobacco.

In Rhode Island, the community substance abuse prevention task forces created under the Rhode Island Substance Abuse Prevention Act of 1987 (RISAPA) remain the main

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a. Which one of the following describes the enforcement of youth access to tobacco laws carried out in your State? (Check one category only) ¶

<sp>☐ Enforcement is conducted exclusively by local law enforcement agencies.¶

☐ Enforcement is conducted exclusively by State agency(s).¶

☐ Enforcement is conducted by both local and State agencies. ¶

b. The following items concern penalties imposed for violations of youth access to tobacco laws by **LOCAL AND/OR STATE LAW ENFORCEMENT AGENCIES.** Please fill in the number requested or indicate if these data are unavailable or the item is not applicable.

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vehicle by which Rhode Island is able to comply with federal Substance Abuse Prevention and Treatment (SAPT) Block Grant requirements to implement environmental prevention strategies as part of the designed 20% set-aside for prevention. In particular, RISAPA task forces have played an essential role in allowing the State to meet the requirements placed on it by the Synar Amendment to the federal Public Health Act. Task forces' broad-based representation and legislative mandate places them in a unique position to implement environmental strategies and to effect positive change within their communities.

RISAPA task forces continue to advocate for police participation in the Synar survey as well as for ongoing enforcement efforts. Task forces recruit, train, and accompany youth volunteers who attempt to purchase tobacco products from retail vendors. In many communities, task forces have conducted trainings of tobacco vendors to increase compliance with the youth access to tobacco law and have made public the results of both the annual local Synar survey and ongoing enforcement efforts.

Statewide, task forces have successfully advocated for municipal regulations and ordinances, which limit tobacco use, particularly in settings where youth are present. Ordinances have been enacted which prohibit tobacco use in municipally-owned buildings, on municipal athletic and recreational field, and at municipally-sponsored events, which involve underage youth. Task forces also have assisted schools in complying with the State law, which prohibits smoking on school property.

The majority of task forces have implemented campaigns to educate all community members about the risks associated with tobacco use, including the harmful effects of environmental tobacco smoke (E.T.S.). These efforts, funded primarily through the RISAPA (MHRH administered) and the Tobacco Control Program (DOH administered) have served to decrease the incidence and prevalence of tobacco use statewide. Task forces also have provided resources to assist current tobacco users who wish to quit.

R.I.S.A.P.A. TASK FORCES **TOBACCO PREVENTION INITIATIVES** **2004**

Barrington

Contact: Kathleen Sullivan, Coordinator

The task force:

- has worked cooperatively with Barrington Middle School to implement the Project Toward No Tobacco model program. All sixth graders are participating in the program through health classes.
- worked with the municipal police department in March, 2004, to conduct Synar compliance checks. The compliance rate was 100% during this most recent round of checks.
- is working with the Principal of Barrington High School to review tobacco policies and to develop a solution to an on-going problem of smoking in student restrooms.
- Coordinator testified several times at General Assembly sessions in support of proposed smoke-free workplace legislation. Task force members also wrote letters and made phone calls to legislators supportive of the legislation.

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Bristol

Contact: Ann Field-Piette, Coordinator

The task force:

- continues to assist the municipal police department in determining compliance with the State's youth access to tobacco statute and assists with Synar compliance checks.
- is working collaboratively with the Warren task force to implement the Stomp Out Smoking program at the regional Kickemuit Middle School.

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Central Falls

Contact: Ana Soares, Coordinator

The task force:

- through funding provided by the DOH's tobacco control program, participates in Project AIR which also includes several other urban task forces.
- on an ongoing basis, provides education about the dangers of tobacco use and E.T.S. to the community. Specific events include: the annual Multicultural Festival, the Schools and Communities Organized to Promote Excellence(SCOPE) Youth Expo, the Police Department's Block Party and Teen Night Out, Thanksgiving and Christmas food and present distributions, Easter in the Park, Central Falls High School and Veterans Memorial High School Health Fairs, and Earth Day.
- develops and disseminates bilingual and culturally appropriate tobacco-related information throughout the community.
- collaborates with Progreso Latino's smoking cessation program.
- collaborates with the local police department in enforcing the State's law regarding youth access to tobacco products.
- conducts education campaign for retail tobacco vendors on the State's youth access to tobacco law; publicly recognizes those vendors who do not sell tobacco products to underage youth.
- develops and disseminates materials related to smoking cessation, including a list of cessation programs and resources.
- coordinates workshops in the City's English as a Second Language classes on the dangers of tobacco use and E.T.S.
- conducts educational meetings with local businesses to discuss the harmful effects of E.T.S. on employees who are exposed to it in the workplace.
- coordinates with Channel One's Substance Abuse Prevention and Treatment Block Grant -funded programs to provide tobacco control information and to facilitate communication among family participants.
- facilitates anti-tobacco workshops in the elementary, middle and high schools of Central Falls.
- facilitates the 500 anti-smoking youth group.

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Chariho (Charlestown, Richmond, Hopkinton)

Contact: Paula Augusthino, Coordinator

The task force:

- recruits youth volunteers to assist the local police department in conducting Synar-related compliance activities.
 - through funding from the R.I. Department of Health, sponsors the “Teens as Teachers” peer leadership program in the regional High School. This program focuses on changing peer and community norms related to tobacco use. “Teens as Teachers” was featured on a ½ hour local radio broadcast advocating for a smoke-free community. The group currently is working to maintain compliance with the State’s Smoke-Free Schools statute by eliminating smoking in school restrooms.
- “Teens as Teachers”, in conjunction with the Middle School “Natural Helpers” program, conducted several classroom presentations in both the Middle School and local elementary schools. Most of these presentations occurred as part of the Kick Butts Day initiative.

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Coventry

Contact: Claire Silva, Coordinator

The task force:

- works with the Middle and High School administration to implement enforceable measures when youth are caught smoking in schools in violation of the State’s Smoke-Free Schools statute. High School students who are caught for the 4th time smoking in school are required to attend a smoking cessation/prevention program. The task force collaborates with the Student Assistance Counselor in the High School to implement the smoking cessation program.
- works collaboratively with the Student Assistance Counselor in the Middle School to conduct on-going tobacco prevention and cessation programs.
- distributed a “Town Assessment” report which educated the community about the level of tobacco use throughout all grade levels.

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Cranston

Contact: Kathleen Martin, Coordinator

The task force:

- maintains a resource table at the City Hall, which includes material describing the health consequences of tobacco use.
- gives numerous presentations on the dangers of tobacco use at both school and community-based events and programs. These events/programs include the Shriners Circus, the Cranston High School West summer recreation program, the Cranston Fall Harvest Festival, the CVS Senior Games, Red Ribbon Week, the Ninth Annual Tobacco Control Conference, “Hoops for the Heart” Basketball Tournament at Cranston H.S. West, Youth to Youth-sponsored assemblies at Cranston H.S. East, SSTARBIRTH Wellness Center, the Cranston Health Fair Day, and the First Annual Health Fair at the R.I. Training School.

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East Greenwich
Contact: Daniel Casey

The task force:

- collaborated with the American Cancer Society, Rhode Island Chapter, to do a presentation in high school health classes during the Great American Smoke-Out. ◀ --- Formatted: Bullets and Numbering
- Coordinator conducts at least 50 classes per year at local schools which include a discussion of the dangers of tobacco use. ◀ --- Formatted: Bullets and Numbering
- in conjunction with the Peer Education program at the high school, does presentations on the dangers of tobacco use in local elementary schools. ◀ --- Formatted: Bullets and Numbering
- works collaboratively with the schools to change school policy regarding tobacco possession, advocating for more stringent penalties. ◀ --- Formatted: Bullets and Numbering
- participates in workshops at youth conferences, including the annual regional Youth to Youth conference, which address the dangers of tobacco use. ◀ --- Formatted: Bullets and Numbering
- assisted in the creation of the East Greenwich Cancer Council which is comprised of parents, clergy, service providers, municipal officials, and other community members. The Council addresses the harmful effects of tobacco use. ◀ --- Formatted: Bullets and Numbering
- works with School Resource Officers who regularly patrol school restrooms in order to increase compliance with the State's Smoke-Free Schools statute. ◀ --- Formatted: Bullets and Numbering
- offers stress management programs at the high school which addresses stress coping strategies and alternatives to tobacco use. ◀ --- Formatted: Bullets and Numbering

East Providence
Contact: Melissa Flaherty, Consultant

The task force:

- as represented by the youth task force, DICE (Drug Intervention Community Educators), plans and implements comprehensive tobacco prevention activities, all of which focus on decreasing favorable attitudes towards tobacco use. One such initiative is "Teens Teaching the Truth," a peer leadership program which educates 4th and 5th grade students. A focus of this program is increasing awareness of the dangers of tobacco use and ETS. Another program offered by DICE is "Mirror Image," a theatre troupe which educates middle and high school students about the dangers of tobacco use. DICE also is core member of "WORD," Rhode Island's youth empowerment anti-tobacco movement which is funded through the State Dept. of Health's tobacco control program. As part of this program, DICE engages in youth advocacy efforts. Evaluation results based on surveys of DICE participants show a significant decrease in the use of tobacco products. ◀ --- Formatted: Bullets and Numbering
- participates in "Project AIR" which employs a variety of environmental strategies to address issues related to ETS and smoking cessation. This initiative is funded through the R.I. Dept. of Health. ◀ --- Formatted: Bullets and Numbering
- played a key role in advocating successfully for passage of Rhode Island's smoke-free workplace ◀ --- Formatted: Bullets and Numbering

legislation. The task force employed one FTE to coordinate advocacy activities. The position was funded through the Campaign for a Health Rhode Island.

- sponsors youths to attend local conferences to empower them to create change within the community. Some of the conferences attended included: Youth to Youth, Rhode Island Teen Institute, and the Rhode Island National Guard's Counter-Drug Adventure Camp.
- assists the local municipal police department in conducting annual Synar compliance checks and will continue to assist in conducting future enforcement activities.

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Exeter/West Greenwich

Contact: Louise Dias, Coordinator

The task force:

- provides information to the two communities it represents on Rhode Island's Smoke-free Schools statute through the task force's community newsletters.
- successfully advocated for passage of a municipal ordinance which bans all alcohol, tobacco and other drug use at all youth events in the Town of West Greenwich. Signs with this message were then placed at all athletic and recreational fields. The task force monitors compliance with this ordinance on an ongoing basis.
- continues to conduct workshops to raise awareness of the dangers associated with tobacco use at the annual sixth grade health fair and at other community events which target teens.
- works collaboratively with the School Resource Officer to recruit youth to participate in Synar compliance efforts.
- works with the local Student Assistance Counselor during Red Ribbon Week. Tobacco use is one topic addressed during this period.

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Foster/Glocester

Contact: Lorraine Kaul, M.A., M.P.A., CPP-R, Coordinator

The task force:

- sponsors a counter advertising campaign, which includes ads in local newspaper and the task force newsletter. Information continues to be provided on how to develop a family policy against tobacco use by youth.
- promotes Partners in Prevention: campaign to encourage other community agencies to collaborate in influencing the community norms regarding anti-tobacco initiatives. To date, more than 80% of the contacted agencies have included anti-tobacco messages in their newsletters.
- continues to support local high school Youth to Youth group and the 8th grade Health class students in their efforts to enact a Town ordinance prohibiting smoking in local restaurants and at any school function. Youth to Youth also developed and disseminated materials regarding the State smoke-free schools law as a policy reinforcement initiative. This group successfully advocated for the company, which provides the school lunch program that require their staff not to smoke on school property. Youth to Youth also sent letters home to all parents of school children requesting implementation of a family policy against youth tobacco use. Task force continues to advocate for ordinances, which limit exposure to ETS.
- works with local recreation department in advocating for an ordinance prohibiting tobacco use in

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any of the town's recreational areas.

Jamestown

Contact: Laura Bucklin, Coordinator

The task force:

- assists the local police department in conducting the annual Synar survey and enforcement efforts. < --- Formatted: Bullets and Numbering
- funds an advertisement in the local telephone directory which features information on smoking cessation. < --- Formatted: Bullets and Numbering
- working with the middle school student council to advocate for local compliance with the State's new smoke-free workplace statute. < --- Formatted: Bullets and Numbering

Lincoln

Contact: Pamela Shayer, Coordinator

The task force:

- conducts educational activities regarding the dangers of tobacco use at local elementary schools. During Red Ribbon Week, anti tobacco use posters are displayed at Lincoln Mall. < --- Formatted: Bullets and Numbering
- collaborates with local police department to educate local licensed tobacco vendors about R.I.'s Youth Access To Tobacco Law, which has served to increase vendor compliance with said law and to decrease local availability of tobacco products to underage youth. < --- Formatted: Bullets and Numbering
- Youth to Youth group participates in Kick Butts Day, the Great American Smokeout and writes a column in the newspaper on tobacco use issues. Participants advocate for tobacco and other drug-free lifestyles as well as focusing on the development of positive peer relationships. < --- Formatted: Bullets and Numbering
- sponsors a weekly smoking cessation support group. < --- Formatted: Bullets and Numbering

Little Compton

Contact: Carolyn James, Coordinator

The task force:

- sponsors structured after school activities, which promote an ATOD-free lifestyle and encourage community service and peer leadership. < --- Formatted: Bullets and Numbering
- sponsors a parenting program, which includes a module on reducing parental approval of underage ATOD use. < --- Formatted: Bullets and Numbering

Narragansett

Contact: Nancy Devaney, Coordinator

The task force:

- through funding from the Department of Health, advocated for legislation to mandate smoke-free restaurants statewide and for legislation to increase the state's tax on cigarettes. < --- Formatted: Bullets and Numbering
- distributes anti-tobacco and ETS literature throughout the Town. < --- Formatted: Bullets and Numbering
- works collaboratively with the High School to enforce the State's Smoke-Free Schools statute, and continues to meet on a regular basis with the PTO's of all local schools to increase parental < --- Formatted: Bullets and Numbering

awareness of the dangers of tobacco use.

- recruits youth volunteers to work with the local police department in conducting the annual Synar survey and in other tobacco enforcement efforts. ◀ --- Formatted: Bullets and Numbering
- participates in the Middle School health fair, providing information on tobacco-related issues. ◀ --- Formatted: Bullets and Numbering
- continues to advocate for the local Little League not to sell Big League Chew, which is marketed to children like spit tobacco. ◀ --- Formatted: Bullets and Numbering

New Shoreham

Contact: Jill Connell, Coordinator

The task force:

- sponsors Camp Mohegan art class for ages 5-10, which meets 2-3 times per week during the summer. Projects are included which focus on the dangers of tobacco use. ◀ --- Formatted: Bullets and Numbering
- distributes materials throughout the community on the dangers of tobacco use. ◀ --- Formatted: Bullets and Numbering
- collaborates with health teacher in conducting anti-tobacco initiatives. ◀ --- Formatted: Bullets and Numbering
- sponsors alternative activities, including the Off the Curb dance group, which present a drug-free message and distributes anti-tobacco material. ◀ --- Formatted: Bullets and Numbering

Newport

Contact: David Roderick, Coordinator

The task force:

- recruited youth volunteers to conduct Synar compliance activities in collaboration with the local police department. ◀ --- Formatted: Bullets and Numbering
- distributed posters and other resources designed to increase perception of risks associated with tobacco use to teen church groups and to the Martin Luther King Center Teen Program. Also gave a presentation to the Center's Girls Group on the dangers of tobacco use. ◀ --- Formatted: Bullets and Numbering
- in collaboration with the Newport City Council, successfully advocated for a city ordinance to make cigarette and cigar butts unlawful litter, resulting in a \$100 fine for violators. Also partnered with the City to further prohibit the use of tobacco products in city parks and playgrounds during youth events. ◀ --- Formatted: Bullets and Numbering
- advocated for passage of the statewide smoke-free workplace legislation and other tobacco-related legislation. ◀ --- Formatted: Bullets and Numbering
- distributed resource materials at a health fair sponsored by the Newport Housing Authority and at two other health fairs. ◀ --- Formatted: Bullets and Numbering
- supports the Student Assistant Counselor at Thompson Middle School. The counselor uses materials from the American Heart Association to conduct classes on the dangers of tobacco use. School-wide programs were promoted during Red Ribbon Week, the Great American Smoke-out and Kick Butts Day. ◀ --- Formatted: Bullets and Numbering
- supports the local Youth to Youth group whose members pledge to be tobacco and other drug- ◀ --- Formatted: Bullets and Numbering

free. The group holds coffee houses and lock-ins where information is presented on the effects of tobacco and other drugs. The Youth to Youth group participated in activities for Kick Butts Day and the Great American Smoke-out.

- on an on-going basis, the task force sponsors ads, letters to the editor, and articles in local newspapers regarding the negative health effects of tobacco use.

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North Kingstown

Contact: Jackie Trainor, Coordinator

The task force:

- works collaboratively with three School Resource Officers and two Student Assistance Counselors to reduce tobacco use in the town's one high school and two middle schools.
- assists the local police department in conducting the annual Synar survey.
- recently developed a Teen Task Force at the high school which has as one of its main goals, reducing tobacco use among their peers. This group hosted an informational/educational display at the high school for the Great American Smoke-Out.

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North Providence

Contact: Jean Vickers, Coordinator

The task force:

- works with the High School Student Assistance Counselor to implement the NOT on Tobacco Youth Smoking Cessation Program.
- supports after school programs at the local Boys and Girls Club that include a module on the dangers of tobacco use.

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North Smithfield

Contact: Paulette Hamilton-Kell, Coordinator

The task force:

- conducted youth leadership activities with 7-9th graders. As part of this initiative, weekly meetings/dances were held where survey information was obtained relative to smoking trends in the youth population of the Town.
- wrote articles in the local newspaper and school newsletter concerning the negative effects of tobacco use.
- in conjunction with the local PTO, distributed bookmarks at Halloween which focused on discouraging youth from smoking and using other drugs.
- during Red Ribbon Week, distributed red ribbons to all teachers in the municipal school system and encouraged them to be positive role models by not smoking or using other drugs.
- sponsors permanent anti-tobacco displays at municipal offices, the municipal library, and at private offices.
- sponsors the Safe Homes Program where parents pledge not to allow smoking, drinking or other drug use by underage individuals in their home and to provide adult supervision at all times. To date, 75 families have agreed to participate in this program.

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Pawtucket
Contact: Diane Dufresne, Coordinator

The task force:

- participates on the Pawtucket Tobacco Task Force, which includes representatives from various municipal and private agencies/organizations. ◀ --- **Formatted: Bullets and Numbering**
- works with Tobacco Task Force to implement plans for a smoke-free restaurant campaign and to revamp the local ordinance related to sales of tobacco products to minors. ◀ --- **Formatted: Bullets and Numbering**

Portsmouth
Contact: Caroline Miller, Coordinator

The task force:

- provides community education about the risks of tobacco use and E.T.S., particularly through distribution of materials at the town library, Senior Center, all school health fairs, and through a Task Force brochure. ◀ --- **Formatted: Bullets and Numbering**
- raises parental awareness of the dangers of underage tobacco use and retail tobacco sales to youth and provides opportunities for parents to take action. Coordinator continues to address parent education groups, to distribute pamphlets and brochures, and to enlist volunteers for the American Cancer Society's TCAT(Tobacco Control Advocacy Team) Network. ◀ --- **Formatted: Bullets and Numbering**
- promotes enforcement (and community support for enforcement) of tobacco-related regulations and ordinances. Assesses compliance with local ordinance, which mandates that the town's athletic fields have signage prohibiting tobacco use and monitors enforcement efforts. ◀ --- **Formatted: Bullets and Numbering**
- continues to assess compliance with State law requiring schools to be smoke free and to post appropriate signage. Works collaboratively with the School Committee to improve compliance. ◀ --- **Formatted: Bullets and Numbering**
- Publicly recognizes those retail tobacco vendors who are in compliance with the State's youth access to tobacco law. Task Force also recognizes those local restaurants that are smoke-free. ◀ --- **Formatted: Bullets and Numbering**
- The task force Coordinator is a certified Trainer of Facilitators for the NOT on Tobacco program of the American Lung Association. Each year, the Coordinator trains up to 18 new facilitators for this program statewide. ◀ --- **Formatted: Bullets and Numbering**

Scituate
Contact: Marie Waldeck, Coordinator

The task force:

- promotes community support for and enforcement of local tobacco-related regulations and ordinances ◀ --- **Formatted: Bullets and Numbering**
- supports a smoking cessation program at the Scituate Middle/High School. ◀ --- **Formatted: Bullets and Numbering**
- supports health teachers in the schools in conducting tobacco education initiatives. ◀ --- **Formatted: Bullets and Numbering**

Smithfield
Contact: Jean Vickers, Coordinator

The task force:

- works with the High School Student Assistance Counselor to host activities highlighting the dangers of tobacco use.
- the task force's teen action group has identified elimination of tobacco use in the high school as its primary goal, and the group is developing and implementing strategies to accomplish that goal.
- supports the NOT on Tobacco program at the middle and high school.

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South Kingstown

Contact: Valerie McGuire, Coordinator

The task force:

- recruited a youth volunteer to work with the local police department to conduct the annual Synar survey and subsequent enforcement efforts. In checks conducted on three separate days, five retail tobacco vendors were found to be in violation of the State's youth access to tobacco statute and were issued summons to appear in court.
- the teen task force collaborated with the American Cancer Society in the Great American Smoke Out by conducting a variety of activities at South Kingstown High School.

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Tiverton

Contact: Rebecca Elwell, Coordinator

The task force:

- is working collaboratively with local schools to place signage related to the State's smoke-free schools law in the schools, and to increase support for enforcing this law; and continues to monitor compliance with the law.
- sponsors the NOT teen smoking cessation program.
- recruits youth to assist the municipal police department in conducting Synar-related compliance efforts.

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Warren

Contact: Ann Marie Roy, Coordinator

The task force:

- works with the local police department in conducting Synar-related compliance activities within the Town.
- sponsors the "Stomp Out Smoking" group at the Kickemuit Middle School. This group consists of 6th – 8th grade students who are actively working to prevent smoking by their peers at the Middle School.
- sponsors smoke-free family dinners, school dances, after-school programs, and community events.
- distributes anti-smoking resources at all task force-sponsored events and at all Middle School open houses for parents.
- works with the Middle School Student Assistance Counselor's to provide informational sessions related to tobacco use to all middle school students.

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Warwick
Contact: Gloria Fairbanks, Coordinator

The task force:

- assists the Student Assistance Counselors at all of the city's Junior and Senior High Schools in conducting anti-tobacco groups and programs ◀ --- **Formatted: Bullets and Numbering**
- works with the local police department to conduct Synar-related compliance efforts ◀ --- **Formatted: Bullets and Numbering**
- supports the "Smoke Free Me" program at the municipal senior center. Sessions are conducted in six week blocks. A registered nurse and a pharmacist provide counseling to those seniors who are attempting to quit smoking. ◀ --- **Formatted: Bullets and Numbering**
- sponsors baseball and hockey tournaments which have a smoke-free theme. ◀ --- **Formatted: Bullets and Numbering**
- assists and sponsors local health expos for seniors and school health fairs at which the negative effects of tobacco use are addressed. ◀ --- **Formatted: Bullets and Numbering**

West Warwick
Contact: Janice Rousselle, Coordinator

The task force:

- supports local police department in implementing the DARE program which includes sessions on the dangers of tobacco use. ◀ --- **Formatted: Bullets and Numbering**
- successfully advocated to put in place policies where smoking is not permitted at the Town's athletic fields and the youth baseball and soccer leagues have a no-smoking policy during games and practices, which includes parents and coaches. ◀ --- **Formatted: Bullets and Numbering**
- sponsors Youth Mentors' dances and field trips, which are promoted as non-smoking events. ◀ --- **Formatted: Bullets and Numbering**
- supports the Explorers' Program which includes workshops on the dangers of tobacco use. ◀ --- **Formatted: Bullets and Numbering**
- takes part in health fairs and open houses at local schools by providing materials about the dangers of tobacco use. ◀ --- **Formatted: Bullets and Numbering**
- sponsors the NOT teen smoking cessation program in local schools. ◀ --- **Formatted: Bullets and Numbering**

Westerly
Contact: Mary Lou Serra, Coordinator

The task force:

- as suggested by the Youth Task Force, provides 1 female and 1 male monitor to the High School to prevent smoking in the restrooms and around the school building. As a result, smoking at the High School has been almost completely eliminated. ◀ --- **Formatted: Bullets and Numbering**
- distributes anti-tobacco slide guides at local health fairs, pharmacies, the local police station, local businesses, and banks. ◀ --- **Formatted: Bullets and Numbering**
- recruits youth volunteers who work with the local police department in conducting Synar-related compliance checks. ◀ --- **Formatted: Bullets and Numbering**
- issued a joint press release with the local police department in an effort to make the annual Thanksgiving Day high school football game alcohol and tobacco free. ◀ --- **Formatted: Bullets and Numbering**

- is working collaboratively with Babcock Middle School to implement a tobacco prevention program for the 8th grade.

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Woonsocket
Contact Lisa Carcifero, Coordinator

The task force:

- provides mock tobacco check training of appropriate Youth Committee members to assist in conducting mock tobacco checks.
- assists the Woonsocket Police Department with tobacco compliance checks
- designs and organizes an annual YOUTH LEAD Conference for youth which focuses on tobacco education.
- provides tobacco-related information through various modes of learning (visual, auditory and tactile) at each Youth Committee meeting.
- developed and distributed educational material, "Parenting Challenge" and other resource materials to parents of Youth Committee members, as well as to the general public.
- provides tobacco-related training to its WTFSA sub-committee members.
- conducts numerous initiatives to educate children and adults/seniors on the dangers of tobacco use and cessation.
- participated in statewide legislative initiatives such as the Smokefree Workplace legislation.
- distributes tobacco cessation material to the general public.
- has a monthly newspaper column in the local newspaper in addition to having tobacco-related topics on its radio show "Task Force Update."
- designs and distributes third grade newsletter focusing on tobacco-related issues.
- conducts a tobacco awareness day at the local YMCA.

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Merchant Education:

The Department of Mental Health, Retardation and Hospitals, Division of Behavioral Healthcare Services, Division of Substance Abuse distributed the new Retailer's Tobacco Guide to all the vendors that sell tobacco and tobacco products. The guide was adapted to meet the needs of RI and to incorporate the relevant state laws. It was also provided in Spanish for those vendors who speak and read Spanish.

Please see attached book.

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SYNAR SURVEY METHODS AND RESULTS

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The following questions pertain to the survey methodology and results of the Synar survey used by the State to meet the requirements of the Synar Regulation in FFY 2004. (See 42 U.S.C. 300x-26 and 45 C.F.R. 96.130)

6. Has the sampling methodology changed from the previous year?

☐ Yes ☒ No

The State is required to have an approved up-to-date description of the Synar sampling methodology on file with CSAP. Please submit a copy of your Synar Survey Sampling Methodology (Appendix B). If the sampling methodology changed from the previous reporting year, these changes must be reflected in the methodology submitted.

7. Please answer the following questions regarding the State's annual random, unannounced inspections of tobacco outlets. (See 45 C.F.R. 96.130(d)(2))

a. Did the State use the optional Synar Survey Estimation System (SSES) to analyze the Synar survey data?

☒ Yes ☐ No

If Yes, attach SSES summary tables 1, 2, 3 and 4 and go to Question 8. If No, continue to Question 7b.

b. Report the weighted and unweighted Retailer Violation Rate (RVR) estimates, and the standard error.

Unweighted RVR _____

Weighted RVR _____

Standard error (s.e.) of the (weighted) RVR _____

Fill in the blanks to calculate the right limit of the right-sided 95% confidence interval.

_____ + (1.645 × _____) = _____
RVR Estimate Plus (1.645 times Standard Error) equals Right Limit

c. Fill out Form 1 in Appendix A (Forms). (Required regardless of the sample design)

d. How were the (weighted) RVR estimate and its standard error obtained?
(Check the one that applies)

- ☐ Form 2 (Optional) in Appendix A (Forms) (Attach completed Form 2)
- ☐ Other (Please specify. Provide formulae and calculations or attach and explain the program code and output with description of all variable names.)

e. If stratification was used, did any strata in the sample contain only one outlet or cluster this year?

☐ Yes ☐ No ☐ No stratification

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If Yes, explain how this situation was dealt with in variance estimation.

f. Was a cluster sample design used?

☐ Yes ☐ No

If No, go to Question 7g.

If Yes, fill out and attach Form 3 in Appendix A (Forms), and answer the following question:

Were any certainty primary sampling units selected this year?

☐ Yes ☐ No

If Yes, explain how the certainty clusters were dealt with in variance estimation.

g. Report the following outlet sample sizes for the Synar survey.

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	Sample Size
Effective sample size (sample size needed to meet the SAMHSA precision requirement assuming simple random sampling)	<u>391</u>
Target sample size (the product of the effective sample size and the design effect)	<u>391</u>
Original sample size (inflated sample size of the target sample to counter the sample attrition due to ineligibility and non-completion)	<u>586</u>
Eligible sample size (number of outlets found to be eligible in the sample)	<u>505</u>
Final sample size (number of eligible outlets in the sample for which an inspection was completed)	<u>455</u>

h. Fill out Form 4 in Appendix A (Forms).

8. Did the State's Synar survey use a list frame?

☒ Yes ☐ No

If Yes, answer the following questions about its coverage:

a. The calendar year of the latest frame coverage study: n/a

b. Percent coverage from the latest frame coverage study: n/a

c. Was a new study conducted in this reporting period? ☐ Yes ☒ No

If Yes, please complete Appendix D (List Sampling Frame Coverage Study) and submit it with the Annual Synar Report.

d. The calendar year of the next coverage study planned: n/a

9. Has the Synar survey inspection protocol changed from the previous year?

☐ Yes ☒ No

The State is required to have an approved up-to-date description of the Synar inspection protocol on file with CSAP. Please submit a copy of your Synar Survey Inspection Protocol (Appendix C). If the inspection protocol changed from the previous year, these changes must be reflected in the protocol submitted.

a. Provide the inspection period: From: 04/01/04 To: 05/26/04

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b. Provide the number of youth inspectors used in the current inspection year:

53

c. Fill out and attach Form 5 in Appendix A (Forms). (Not required if the State used the Synar Survey Estimation System (SSES) to analyze the Synar survey data)

SECTION II: FFY 2005 (Intended Use):

Public law 42 U.S.C. 300x-26 of the Public Health Service Act and 45 C.F.R. 96.130 (e) (4, 5) require that the States provide information on future plans to ensure compliance with the Synar requirements to reduce youth tobacco access.

1. In the upcoming year, does the State anticipate any changes in the:

Synar sampling methodology ☐ Yes ☒ No

Synar inspection protocol ☐ Yes ☒ No _____

If changes are made in either the Synar sampling methodology or the Synar inspection protocol, the State is required to obtain approval from CSAP prior to implementation of the change and file an updated Synar Survey Sampling Methodology (Appendix B) or an updated Synar Survey Inspection Protocol (Appendix C), as appropriate.

2. Please describe the State's plans to maintain and/or reduce the target rate for Synar inspections to be completed in FFY 2005. Include a brief description of plans for law enforcement efforts to enforce youth tobacco access laws, activities that support law enforcement efforts to enforce youth tobacco access laws, and any anticipated changes in youth tobacco access legislation or regulation in the State.

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The Department of Mental Health, Retardation & Hospitals will provide significant judicial lobbying to combat Tobacco Vendors seeking to change current laws regarding fines and license revocations.

Rhode Island was significantly challenged this year by the enforcement of RI Gen. Law 11-9-13. Many Rhode Island cities will continue to experience financial hardship due to a shortage of funds, which will affect their ability to perform enforcement activities. Many police departments will continue to have a reduction of hiring which will affect the amount Tobacco Enforcement completed next year. To address these challenges, we plan to continue to meet with the Chief's Police Association to educate them on Synar and the benefits of ongoing enforcement, and with the Attorney General for support with the tobacco enforcement.

Rhode Island plans to continue a media campaign with the cooperation of The RI Department of Health and will continue event sponsoring. For merchant education we will continue to distribute the Retailer's Tobacco Guide and the appropriate signage in both English & Spanish to the appropriate establishments.

3. Describe any challenges the State faces in complying with the Synar regulation. (Check all that apply)

- ☒ Limited resources for law enforcement of youth access laws
- ☒ Limited resources for activities to support enforcement and compliance with youth tobacco access laws
- ☐ Limitations in the State youth tobacco access laws
- ☐ Limited public support for enforcement of youth tobacco access laws
- ☒ Limitations on completeness/accuracy of list of tobacco outlets
- ☐ Limited expertise in survey methodology
- ☐ Laws/regulations limiting the use of minors in tobacco inspections
- ☐ Difficulties recruiting youth inspectors
- ☐ Geographic, demographic, and logistical considerations in conducting inspections
- ☐ Cultural factors (e.g., language barriers, young people purchasing for their elders)
- ☐ Issues regarding sources of tobacco under tribal jurisdiction
- ☐ Other challenges (please list): _____

Briefly describe all checked challenges:

A 50% budget reduction for 2005 enforcement activities is planned due to the state's budget deficit. The department will utilize other venues for promotion due to the significant decrease in finances allotted for public education. Rhode Island is experiencing significant judicial lobbying from Tobacco Vendors to change current laws regarding fines and license revocations.

Tobacco Vendor Licenses are obtained through the Division of Taxation. Due to staff shortages at the Division of Taxation and the absence of an annual renewal license fee, the Rhode Island list of tobacco vendors is inaccurate. Therefore, the Department of Mental Health, Retardation & Hospitals has been maintaining a database and then cross-referencing it with the Division of Taxation for accuracy. Annually, a mailing goes out to check which businesses have closed or moved. This is added to our database for a more accurate listing.

APPENDIX A: FORMS

SSSES Table 1 (Synar Survey Estimates and Sample Sizes)

CSAP-SYNAR REPORT

State	RI
Federal Fiscal Year (FFY)	2005
Date	9/1/2004 10:54
Data	SSSES Data Entry Template-SRS.xls
Analysis Option	Stratified SRS with FPC

Estimates

Unweighted Retailer Violation Rate	9.5%
Weighted Retailer Violation Rate	9.5%
Standard Error	1.2%
Is SAMHSA Precision Requirement met?	YES
Right-sided 95% Confidence Interval	[0.0%, 11.4%]
Two-sided 95% Confidence Interval	[7.1%, 11.8%]
Design Effect	1.0
Accuracy Rate (unweighted)	86.2%
Accuracy Rate (weighted)	86.2%
Completion Rate (unweighted)	90.1%

Sample Size for Current Year

Effective Sample Size	391
Target (Minimum) Sample Size	391
Original Sample Size	586
Eligible Sample Size	505
Final Sample Size	455
Overall Sampling Rate	25.8%

SSSES Table 2 (Synar Survey Results by Stratum and by OTC/VM)

STATE: RI

FFY: 2005

Samp. Stratum	Var. Stratum	Outlet Frame Size	Estimated Outlet Population Size	Number of PSU Clusters Created	Number of PSU Clusters in Sample	Outlet Sample Size	Number of Eligible Outlets in Sample	Number of Sample Outlets Inspected	Number of Sample Outlets in Violation	Retailer Violation Rate(%)	Standard Error(%)
All Outlets											
1	1	2,081	1,793	N/A	N/A	586	505	455	43	9.5%	
Total		2,081	1,793			586	505	455	43	9.5%	1.2%
Over the Counter Outlets											
1	1	1,955	1,525	N/A	N/A	460	420	387	39	10.1%	
Total		1,955	1,525			460	420	387	39	10.1%	1.3%
Vending Machines											
1	1	126	268	N/A	N/A	126	85	68	4	5.9%	
Total		126	268			126	85	68	4	5.9%	2.5%

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FORM 1 (Required for all States not using the Synar Survey Estimation System (SSES) to analyze the Synar Survey data)¶

Complete Form 1 to report sampling frame and sample information and to calculate the unweighted retailer violation rate using results from the current year's Synar survey inspections.¶

Instructions for Completing Form 1: In the top right hand corner of the form, provide the State name and reporting Federal fiscal year (FFY 2005). Provide the remaining information by stratum if stratification was used. Make copies of the form if additional rows are needed to list all the strata.¶

Column 1: If stratification was used:¶

1(a) Sequentially number each row.¶

1(b) Write in the name of each stratum. All strata in the State must be listed. ¶

If no stratification was used:¶

1(a) Leave blank.¶

1(b) Write "State" in the first row (indicates that the whole state is a single stratum).¶

Note for unstratified samples: for columns 2-5, wherever the instruction refers to "each stratum," report the specified information for the State as a whole.¶

Column 2: 2(a) Report the number of over-the-counter (OTC) outlets in the sampling frame in each stratum.¶

2(b) Report the number of vending machine (VM) outlets in the sampling frame in each stratum.¶

2(c) Report the combined total of OTC and VM outlets in the sampling frame in each stratum.¶

Column 3: 3(a) Report the estimated number of eligible OTC outlets in the OTC outlet population in each stratum.¶

3(b) Report the estimated number ... [1]

SSES Table 3 (Synar Survey Sample Tally Summary)

STATE: RI

FFY: 2004

Disposition Code	Description	Count	Subtotal
EC	Eligible and inspection complete outlet	455	
Total (Eligible Completes)			455
N1	In operation but closed at time of visit	0	
N2	Unsafe to access	15	
N3	Presence of police	0	
N4	Youth inspector knows salesperson	6	
N5	Moved to new location but not inspected	0	
N6	Drive thru only/youth inspector has no drivers license	0	
N7	Tobacco out of stock	0	
N8	Run out of time	0	
N9	Other noncompletion (see below)	29	
Total (Eligible Noncompletes)			50
I1	Out of Business	12	
I2	Does not sell tobacco products	26	
I3	Inaccessible by youth	22	
I4	Private club or private residence	21	
I5	Temporary closure	0	
I6	Unlocatable	0	
I7	Wholesale only/Carton sale only	0	
I8	Vending machine broken	0	
I9	Duplicate	0	
I10	Other ineligibility	0	
Total (Ineligibles)			81
Grand Total			586

Give reasons and counts for other noncompletion:

Reason	Count

SSES Table 4 (Synar Survey Inspection Results by Youth Inspector Characteristics)

STATE: RI

FFY: 2004

Frequency Distribution

Gender	Age	Number of Inspectors	Attempted Buys	Successful Buys
Male	14	3	17	0
	15	10	104	8
	16	12	89	10
	17	3	23	2
	18	0	0	0
	Subtotal	28	233	20
Female	14	1	1	0
	15	3	14	0
	16	17	194	20
	17	4	13	3
	18	0	0	0
	Subtotal	25	222	23
Other		0	0	0
Grand Total		53	455	43

Buy Rate in Percent by Age and Gender

Age	Male	Female	Total
14	0.0%	0.0%	0.0%
15	7.7%	0.0%	6.8%
16	11.2%	10.3%	10.6%
17	8.7%	23.1%	13.9%
18	0.0%	0.0%	0.0%
Other	-	-	0.0%
Total	8.6%	10.4%	9.5%

APPENDIX B

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APPENDIX B
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STATE: RI

FFY: 2005

SYNAR SURVEY SAMPLING METHODOLOGY

1. What type of sampling frame is used?

- ☒ List frame (Go to Question 2)
☐ Area frame (Go to Question 3)
☐ List-assisted area frame (Go to Question 2)

2. List all sources of the list frame. Indicate the type of source from the list below. Provide a brief description of the frame source. Explain how the lists are updated (method), including how new outlets are identified and added to the frame. In addition, explain how often the lists are updated (cycle). (After completing this question, go to Question 4)

Use the corresponding number to indicate Type of Source in the table below:

- 1 – Statewide commercial business list 4 – Statewide retail license/permit list
2 – Local commercial business list 5 – Statewide liquor license/permit list
3 – Statewide tobacco license/permit list 6 – Other

<u>Name of Frame Source</u>	<u>Type of Source</u>	<u>Description</u>	<u>Updating Method and Cycle</u>
RI Division of Taxation	3	A license is required to sell tobacco in RI. The department receives annually an Excel File of all licensed tobacco vendors in the state from the Div of Taxation.	The department personnel check any sites that were closed in the previous year to see if they are still closed, and remove any such sites from the list before drawing the sample.
_____	_____	_____	_____
_____	_____	_____	_____
_____	_____	_____	_____

3. If an area frame is used, describe how area sampling units are defined and formed.

a. Is any area left out in the formation of the area frame? ☐ Yes ☐ No

If Yes, what percentage of the State's population is not covered by the area frame?

_____ %

4. Federal regulation requires that vending machines be inspected as part of the Synar survey. Are vending machines included in the Synar survey?

☒ **Yes** ☐ **No**

If No, please indicate the reason they are not included in the Synar survey.

☐ State law bans vending machines

☐ State law bans vending machines from locations accessible to youth

☐ State has SAMHSA approval to exempt vending machines from the survey

☐ **Other** (please describe):

5. Which category below best describes the sample design? (Check only one)

☐ **Census** (STOP HERE: Appendix B is complete)

Unstratified State-wide sample:

☒ Simple random sample (go to Question 9)

☐ Systematic random sample (go to Question 6)

☐ Single-stage cluster sample (go to Question 8)

☐ Multi-stage cluster sample (go to Question 8)

Stratified sample:

☐ Simple random sample (go to Question 7)

☐ Systematic random sample (go to Question 6)

☐ Single-stage cluster sample (go to Question 7)

☐ Multi-stage cluster sample (go to Question 7)

☐ **Other** (please describe):

☐ **Other** (please describe and go to Question 9):

6. Describe the systematic sampling methods. (After completing Question 6, go to Question 7 if stratification is used. Otherwise, go to 9)

7. Provide the following information about stratification

a. Provide a full description of the strata that are created.

b. Is clustering used within the stratified sample?

☐ **Yes** (go to Question 8)

☐ No (go to Question 9)

8. Provide the following information about clustering

a. Provide a full description of how clusters are formed. (If multi-stage clusters are used, give definitions of clusters at each stage.)

b. Specify the sampling method (simple random, systematic, or probability proportional to size sampling) for each stage of sampling and describe how the method(s) is (are) implemented.

9. Provide the formulae for determining the effective, target, and original outlet sample sizes.

The effective sample size (n) is calculated as follows to a 95% confidence interval:

$$n = \frac{1}{\frac{s.e.^2}{pq} + \frac{1}{N}}$$

where N = the sampling frame size

p = proportion of unsuccessful buys

$q = 1 - p$

s.e. = 0.0182, which is the desired standard error for 3 percent SAMHSA precision requirement with respect to one-sided 95% confidence interval.

The target sample size is the same as the effective sample size because the design effect is one for the simple random sample design.

Original sample size:

$$n_o = n_e(1 + s)$$

where s is the overdraw factor.

Special Note: The overdraw factor for this FY is 0.50.

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APPENDIX C

STATE: RI

FFY: 2004

SYNAR SURVEY INSPECTION PROTOCOL

Note: Attach a copy of the inspection form and protocol used to record the inspection result.

1. How does the State Synar survey protocol address the following?

a. Consummated buy attempts?

☒ Required ☐ Not Permitted
☐ Permitted under specified circumstances ☐ Not specified in protocol

b. Youth inspectors to carry ID?

☒ Required ☐ Not Permitted
☐ Permitted under specified circumstances ☐ Not specified in protocol

c. Adult inspectors to enter the outlet?

☐ Required ☐ Not Permitted
☐ Permitted under specified circumstances ☒ Not specified in protocol

d. Youth inspectors to be compensated?

☒ Required ☐ Not Permitted
☐ Permitted under specified circumstances ☒ Not specified in protocol

2. Identify the agency(s) or entity(s) that actually conduct the random, unannounced Synar inspections of tobacco outlets. (Check all that apply)

☒ Law enforcement agency(s)
☐ State or local government agency(s) other than law enforcement
☐ Private contractor(s)
☐ Other

List the agency name(s): _____

3. Are Synar inspections combined with law enforcement efforts (i.e., do law enforcement issue warnings or citations to retailers found in violation of the law at the time of the inspection)?

☐ Always ☐ Usually ☐ Sometimes ☐ Rarely ☒ Never

Deleted: 3.

Deleted: If an area frame is used, describe how area sampling units are defined and formed.

<sp>a. Is any area left out in the formation of the area frame? ☐ Yes ☐ No

If Yes, what percentage of the State's population is not covered by the area frame? %

4. Federal regulation requires that vending machines be inspected as part of the Synar survey. Are vending machines included in the Synar survey?

<sp>☐ Yes ☐ No

If No, please indicate the reason they are not included in the Synar survey.

☐ State law bans vending machines

☐ State law bans vending machines from locations accessible to youth

☐ State has SAMHSA approval to exempt vending machines from the survey

☐ Other (please describe):

5. Which category below best describes the sample design? (Check only one)

☐ Census (STOP HERE: Appendix B is complete)

Unstratified State-wide sample:

<sp>☐ Simple random sample (go to Question 9)

☐ Systematic random sample (go to Question 6)

☐ Single-stage cluster sample (go to Question 8)

☐ Multi-stage cluster sample (go to Question 8)

Stratified sample:

☐ Simple random sample (go to Question 7)

☐ Systematic random sample (go to Question 6)

☐ Single-stage cluster sample (go to Question 7)

☐ Multi-stage cluster sample (go to Question 7)

☐ Other (please describe and go to Question 9):

6. Describe the systematic sampling methods. (After completing Question 6, go to Question 7 if stratification is used. Otherwise go to Question 9.)

4. Describe the methods used to recruit, select, and train youth inspectors and adult supervisors.

Recruitment of youth is primarily done by each police department however, task forces are utilized and the WORD Program for recruitment of youth. Training of youth is done by each police department. MHRH trains the police departments annually on the Survey Protocol which is used at the police departments for the training tool of youth.

5. Are there specific legal or procedural requirements instituted by the State to address the issue of youth inspectors' immunity when conducting inspections?

a. Legal ☒ Yes ☐ No (If Yes, please describe):

Title 11 Criminal Offenses Chapter 11-9 Children

11-9-13.6

Underage individuals, acting as agents for the department of mental health, retardation and hospitals and with the written permission of a parent or guardian, may purchase, with impunity from prosecution, tobacco products for the purposes of law enforcement or government research involving monitoring compliance with this chapter, provided that the underage individuals are supervised by an adult law enforcement official. Any individual participating in an unannounced compliance check of the over-the-counter or vending machine sales, must state his or her accurate age if asked by the sales representative of the retail establishment being checked.

b. Procedural ☐ Yes ☒ No (If Yes, please describe):

6. Are there specific legal or procedural requirements instituted by the State to address the issue of the safety of youth inspectors during all aspects of the Synar inspection process?

a. Legal ☐ Yes ☒ No (If Yes, please describe):

b. Procedural ☒ Yes ☐ No (If Yes, please describe):

Synar Survey Protocol

LOGISTICS

- The survey is targeted to be completed in one month.
- The survey is to be conducted in after school hours or weekends.
- Survey only those outlets for which you receive a survey form. If the outlet is closed, no longer sells tobacco products, or if conditions are unsafe for inspecting, note this information on the data collection form with an explanation of why the purchase survey was not completed.
- Survey teams should consist of one police officer and one surveyor if male or two surveyors if female.

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SURVEYORS

- Surveyors should be between the age of 15 and 16, avoid those youth that appear older than or younger than these ages.

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- Hold an age verification panel, using the Age Rating Sheet; by having 3 to 4 people rate the apparent age of the youth surveyor.
- There should be approximately 50% female surveyors and 50% male surveyors.
- Surveyors should dress as they would normally; avoiding makeup and clothing that would make them appear older than 16 years of age.
- All departments will be required to have money for the purchase of the cigarettes during the survey and only give the buy money to the youth once you reach the survey site.
- Surveyors must be paid **minimum wage** per hour; the request for reimbursement must be made on an invoice form along with the request for reimbursement of the officers and the buy money spent.

PROCEDURES

- Each participating law enforcement official will receive the survey forms for the sites for which she or he is responsible.
- Due to the guidelines for the survey process it is critical that you only survey sites for which you have received a report form, no site substitution is allowed.
- Police officers are to drive surveyors to the selected site in an unmarked police vehicle.
- Police officers should park cars in a location where the surveyor can enter and exit the car and the establishment safely but not be in direct view of the survey sites personnel.
- The youth will enter the establishment and attempt to make a purchase if:
 - There are no police officers who are not part of the survey team present in the establishment.
 - The youth, upon entering the establishment determines that she or he does not know anyone present.
 - If the situation does not appear to be dangerous.
- Packs to be requested are: **Marlboro's, Winston Lights or Newports.**
- Surveyors are to leave their ID in the vehicle with the officer.
- If asked their age the surveyor is to be truthful and if asked for ID they are to say they don't have any with them.
- If a purchase is made the surveyor is to pay for the product and leave the establishment quickly.
- Upon completion of the survey the youth surveyor is to complete the report form prior to moving to the next site. Also, if a purchase is made the cigarettes are to be turned over to the law enforcement official immediately upon return to the vehicle.

7. Are there any other legal or procedural requirements the State has regarding how inspections are to be conducted (e.g., age of youth inspector, time of inspections, training that must occur)?

a. Legal ☐ Yes ☒ No (If Yes, please describe):

b. Procedural ☒ Yes ☐ No (If Yes, please describe):

See Survey Protocol for question 6.

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Deleted: ¶ SYNAR SURVEY INSPECTION PROTOCOL¶

¶
Note: Attach a copy of the inspection form and protocol used to record the inspection result.¶

¶ 1. How does the State Synar survey protocol address the following? ¶

a. Consummated buy attempts? ¶

<sp> ☐ Required

☐ Not Permitted ¶

☐ Permitted under specified

circumstances ☐ Not specified in

protocol¶

b. Youth inspectors to carry ID? ¶

<sp> ☐ Required

☐ Not Permitted ¶

☐ Permitted under specified

circumstances ☐ Not specified in

protocol¶

c. Adult inspectors to enter the outlet? ¶

☐ Required ☐

Not Permitted ¶

<sp> ☐ Permitted under specified

circumstances ☐ Not specified in

protocol¶

d. Youth inspectors to be compensated? ¶

<sp> ☐ Required

☐ Not Permitted ¶

<sp> ☐ Permitted under specified

circumstances ☐ Not specified in

protocol¶

¶

2. Identify the agency(s) or entity(s)

that actually conduct the random,

unannounced Synar inspections of

tobacco outlets. (Check all that apply)¶

<sp> ☐ Law enforcement agency(s)¶

☐ State or local government agency(s)

other than law enforcement¶

☐ Private contractor(s)¶

☐ Other¶

List the agency name(s):

_____¶

3. Are Synar inspections combined

with law enforcement efforts (i.e., do

law enforcement issue warnings or

citations to retailers found in violation

of the law at the time of the

inspection)? ¶

<sp> ☐ Always ☐ Usually ☐

Sometimes ☐ Rarely ☐ Never¶

=====Section Break (Next Page)=====

4. Describe the methods used to

Deleted: ¶

APPENDIX D

STATE: RI

FFY: 2004

List Sampling Frame Coverage Study (LIST FRAME ONLY)

1. Calendar year of the coverage study: 2005

2. Percent coverage found: _____ %
(Provide calculation of the percent coverage)

3. Provide a description of the coverage study methods and results.

In the spring of 2005, the Department of Mental Health, Retardation and Hospitals will conduct a coverage study of Rhode Island Tobacco Retailer Outlets. The department will visit three cities and survey all retail tobacco establishments within a two-block radius. A comparison will be done with the list the department receives from the Department of Taxation to the actual Tobacco Retailer's site. The percent coverage will be calculated as (# of sites found in the sampling frame)/(number of sites that sell tobacco products).

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Synar Survey Methodology
State of Rhode Island

Each year, RI Department of MHRH receives an up-to-date list of all licensed tobacco vendors in the state from the RI Division of Taxation. The list includes both over-the-counter and vending machine locations. It is estimated that the percentage of coverage of the sampling frame is approximately 95% of the population of eligible outlets in the state. It falls short of 100% coverage only due to sites that may be selling tobacco illegally (without a license), or sites that have become licensed between the time the list was received from taxation and the time the surveys are completed.

Once the list is received by MHRH each spring, it undergoes a thorough review/cleaning by internal staff prior to use in the Synar survey. Specifically, the list is reviewed to ensure all tobacco vendors therein have a valid location address, any duplicates are removed, and any sites that had been found to be closed in past year surveys are checked to confirm whether the site remains open for business.

Because Rhode Island encompasses such a small geographic area, assessing access to retail tobacco sites based on geographic location is not required (based on guidance provided by CSAP). Thus, a single, statewide, sampling unit is used that incorporates all regions of the state.

Furthermore, past experience in conducting the annual survey has found no significant variability in ease of access to tobacco based on the type of sales site (vending machine vs. over-the counter). Therefore, there is no stratification of the sample according to site type. However, the sample drawn is routinely reviewed and it has been found that the proportion of OTC vs. vending machine sites in the sample is nearly identical to that found in the overall sample frame.

The target (minimum) sample size (n) is calculated as follows to achieve a 95% confidence interval + 3%:

$$n = 1/[z^2/(p*q) + (1/N)], \text{ where}$$

—
n = sample size
N = sampling frame size, or universe of outlets statewide
p = proportion of unsuccessful buys (.80)
q = proportion of successful buys (.20)
z = z-score for level of confidence of .95 (1.645)
CI = confidence interval + range (.03)

A simple random sample of both OTC and vending machine sites is drawn by assigning each member of the population of sites a four-digit number, and then randomly selecting sites from the list, without replacement. Additionally, based on past experience, we consistently overdraw our sample (most recently by a factor of .50), to account for expired licenses/other ineligible sites that the sample frame might contain, as well as some non-completion of sites due to a variety of possible factors.

The set of sites in the original sample size are chosen using SPSS software's "Select Random Sample of Cases," for which we specify the exact number of cases to select, determined as: target (minimum) sample size * 1+ overdraw factor).

Incomplete inspections typically are dealt with in two ways, depending upon the reason for incompleteness. First, sites are not inspected if they are found to be out-of-business, no longer selling tobacco products, allow access to only those age 21+, or have no public entry (private club). Sites that are deemed inappropriate or unsafe for survey by the accompanying police also are not surveyed. However, if sites are found to be closed just at the time of initial inspection, or if the youth inspector knows the salesperson, they are to be re-inspected at another time until a survey can be completed.

FORM 1 (Required for all States not using the Synar Survey Estimation System (SSES) to analyze the Synar Survey data)

Complete Form 1 to report sampling frame and sample information and to calculate the unweighted retailer violation rate using results from the current year's Synar survey inspections.

Instructions for Completing Form 1: In the top right hand corner of the form, provide the State name and reporting Federal fiscal year (FFY 2005). Provide the remaining information by stratum if stratification was used. Make copies of the form if additional rows are needed to list all the strata.

Column 1: *If stratification was used:*

1(a) Sequentially number each row.

1(b) Write in the name of each stratum. All strata in the State must be listed.

If no stratification was used:

1(a) Leave blank.

1(b) Write "State" in the first row (indicates that the whole state is a single stratum).

Note for unstratified samples: for columns 2-5, wherever the instruction refers to "each stratum," report the specified information for the State as a whole.

Column 2: 2(a) Report the number of over-the-counter (OTC) outlets in the sampling frame in each stratum.

2(b) Report the number of vending machine (VM) outlets in the sampling frame in each stratum.

2(c) Report the combined total of OTC and VM outlets in the sampling frame in each stratum.

Column 3: 3(a) Report the estimated number of eligible OTC outlets in the OTC outlet population in each stratum.

3(b) Report the estimated number of eligible VM outlets in the VM outlet population in each stratum.

3(c) Report the combined total estimated number of eligible OTC and VM outlets in the total outlet population in each stratum.

The estimates for Column 3 can be obtained from the Synar survey sample as the weighted sum of eligible outlets by outlet type.

Column 4: 4(a) Report the number of eligible OTC outlets for which an inspection was completed, for each stratum.

4(b) Report the numbers of eligible VM outlets for which an inspection was completed, for each stratum.

4(c) Report the combined total of eligible OTC and VM outlets for which an inspection was completed, for each stratum.

Column 5: 5(a) Report the number of OTC outlets found in violation of the law as a result of completed inspections, for each stratum.

5(b) Report the number of VM outlets found in violation of the law as a result of completed inspections, for each stratum.

5(c) Report the combined total of OTC and VM outlets found in violation of the law as a result of completed inspections, for each stratum.

Totals: For each sub-column (a-c) in Columns 2-5, provide totals for the State as a whole in the last row of the table. These numbers will be the sum of the numbers in each row for the respective column.

FORM 1 (Required for all States not using the Synar Survey Estimation System (SSES) to analyze the Synar Survey data)

Summary of Synar Inspection Results by Stratum													
State _____ FFY _____													
(1)		(2)			(3)			(4)			(5)		
STRATUM		NUMBER OF OUTLETS IN SAMPLING FRAME			ESTIMATED NUMBER OF ELIGIBLE OUTLETS IN POPULATION			NUMBER OF OUTLETS INSPECTED			NO. OF OUTLETS FOUND IN VIOLATION DURING INSPECTIONS		
(a) Row #	(b) Stratum Name	(a) Over-the-Counter (OTC)	(b) Vending Machines (VM)	(c) Total Outlets (2a+2b)	(a) Over-the-Counter (OTC)	(b) Vending Machines (VM)	(c) Total Outlets (3a+3b)	(a) Over-the-Counter (OTC)	(b) Vending Machines (VM)	(c) Total Outlets (4a+4b)	(a) Over-the-Counter (OTC)	(b) Vending Machines (VM)	(c) Total Outlets (5a+5b)
Section Break (Continuous)													

RECORD COLUMN TOTALS ON LAST LINE (LAST PAGE ONLY IF MULTIPLE PAGES ARE NEEDED)

FORM 2 (Optional)**Appropriate for stratified simple or systematic random sampling designs.**

Complete Form 2 to calculate the weighted RVR. This table (in Excel form) is designed to calculate the weighted RVR for stratified simple or systematic random sampling designs, accounting for ineligible outlets and non-complete inspections encountered during the annual Synar survey.

Instructions for Completing Form 2:

In the top right hand corner of the form, provide the State name and reporting Federal fiscal year (FFY2005).

- Column 1: Write in the name of each stratum into which the sample was divided. These should match the strata reported in Column 1(b) of Form 1.
- Column 2: Report the number of outlets in the sampling frame in each stratum. These numbers should match the numbers reported for the respective strata in Column 2(c) of Form 1.
- Column 3: Report the original sample size (the number of outlets originally selected, including substitutes or replacements) for each stratum.
- Column 4: Report the number of sample outlets in each stratum that were found to be eligible during the inspections. Note that this number must be less than or equal to the number reported in Column 3 for the respective strata.
- Column 5: Report the number of eligible outlets in each stratum for which an inspection was completed. Note that this number must be less than or equal to the number reported in Column 4. These numbers should match the numbers reported in Column 4(c) of Form 1 for the respective strata.
- Column 6: Report the number of eligible outlets inspected in each stratum that were found in violation. These numbers should match the numbers reported in Column 5(c) of Form 1 for the stratum.
- Column 7: Form 2 (in Excel form) will automatically calculate the stratum RVR for each stratum in this column. This is calculated by dividing the number of inspected eligible outlets found in violation (Column 6) by the number of inspected eligible outlets (Column 5). The State unweighted RVR will be shown in the Total row of Column 7.
- Column 8: Form 2 (in Excel form) will automatically calculate the estimated number of eligible outlets in the population for each stratum. This calculation is made by multiplying the number of outlets in the sampling frame (Column 2) times the number of eligible outlets (Column 4) divided by the original sample size (Column 3). Note that these numbers will be less than or equal to the numbers in Column 2.
- Column 9: Form 2 (in Excel form) will automatically calculate the relative stratum weight by dividing the estimated number of eligible outlets in the population for each stratum in Column 8 by the Total of the values in Column 8.
- Column 10: Form 2 (in Excel form) will automatically calculate each stratum's contribution to the State weighted RVR by multiplying the stratum RVR (Column 7) by the relative stratum weight (Column 9). The weighted RVR for the State will be shown in the Total row of Column 10.
- Column 11: Form 2 (in Excel form) automatically calculates the standard error of each stratum's RVR (Column 7). The standard error for the State weighted RVR will be shown in the Total row of Column 11.
- TOTAL: For Columns 2-6, Form 2 (in Excel form) provides totals for the State as a whole in the last row of the table. For Columns 7-11, it calculates the respective statistic for the State as a whole.

Section Break (Next Page)

FORM 2 (Optional) Appropriate for stratified simple or systematic random sampling designs.

Calculation of Weighted Retailer Violation Rate										
										State: _____
										FFY: _____
(1) Stratum Name	(2) N Number of Outlets in Sampling Frame	(3) n Original Sample Size	(4) n1 Number of Sample Outlets Found Eligible	(5) n2 Number of Outlets Inspected	(6) x Number of Outlets Found in Violation	(7) p=x/n2 Stratum Retailer Violation Rate	(8) N'=N(n1/n) Estimated Number of Eligible Outlets in Population	(9) w=N'/Total Column 8 Relative Stratum Weight	(10) pw Stratum Contribution to State Weighted RVR	(11) s.e. Standard Error of Stratum RVR
TOTAL										

- N - number of outlets in sampling frame
- n - original sample size (number of outlets in the original sample)
- n1 - number of sample outlets that were found to be eligible
- n2 - number of eligible outlets that were inspected
- x - number of inspected outlets that were found in violation
- p - stratum retailer violation rate ($p=x/n2$)
- N' - estimated number of eligible outlets in population ($N'=N*n1/n$)
- w - relative stratum weight ($w=N'/\text{Total Column 8}$)
- pw - stratum contribution to the weighted retailer violation rate
- s.e. - standard error of the stratum RVR

Section Break (Next Page)

FORM 3 (Required when a cluster design is used for all States not using the Synar Survey Estimation System (SSES) to analyze the Synar survey data)

Complete Form 3 to report information about primary sampling units when a cluster design was used for the Synar survey.

Instructions for Completing Form 3:

In the top right hand corner of the form, provide the State name and reporting Federal fiscal year (FFY2005).

Provide information by stratum if stratification was used. Make copies of the form if additional rows are needed to list all the strata.

Column 1: Sequentially number each row.

Column 2: *If stratification was used:* Write in the name of stratum. All strata in the State must be listed.

If no stratification was used: write “State” in the first row to indicate that the whole state constitutes a single stratum.

Column 3: Report the number of primary sampling units (PSUs) (i.e., first-stage clusters) created for each stratum.

Column 4: Report the number of PSUs selected in the original sample for each stratum.

Column 5: Report the number of PSUs in the final sample for each stratum.

TOTALS: For Columns 3-5, provide totals for the State as a whole in the last row of the table.

Summary of Clusters Created and Sampled				
				State: _____
				FFY: _____
(1) Row #	(2) Stratum Name	(3) Number of PSUs Created	(4) Number of PSUs Selected	(5) Number of PSUs in the Final Sample
TOTAL				

Page Break

FORM 4 (Required for all States not using the Synar Survey Estimation System (SSES) to analyze the Synar Survey data)

Complete Form 4 to provide detailed tallies of ineligible sample outlets by reasons for ineligibility and detailed tallies of eligible sample outlets with noncomplete inspections by reasons for noncompletion.

Instructions for Completing Form 4:

In the top right hand corner of the form, provide the State name and reporting Federal fiscal year (FFY2005).

Column 1(a): Enter the number of sample outlets found ineligible for inspection by reason for ineligibility. Provide the total number of ineligible outlets in the row marked “**Total**”.

Column 2(a): Enter the number of eligible sample outlets with noncomplete inspections by reason for noncompletion. Provide the total number of eligible outlets with noncomplete inspections in the row marked “**Total**”.

Inspection tallies by reason of ineligibility or noncompletion <div style="text-align: right;"> State _____ FFY _____ </div>			
(1) INELIGIBLE		(2) ELIGIBLE	
Reason for ineligibility	(a) Counts	Reason for noncompletion	(a) Counts
Out of business		In operation but closed at time of visit	
Does not sell tobacco products		Unsafe to access	
Inaccessible by youth		Presence of police	
Private club or private residence		Youth inspector knows salesperson	
Temporary closure		Moved to new location	
Unlocatable		Drive thru only/youth inspector has no driver's license	
Wholesale only/Carton sale only		Tobacco out of stock	
Vending machine broken		Run out of time	
Duplicate		Other noncompletion reason(s) <i>(describe)</i>	
Other ineligibility reason(s) <i>(describe)</i>			
Total		Total	

Page Break

FORM 5 (Required for all States not using the Synar Survey Estimation System (SSES) to analyze the Synar survey data)

Complete Form 5 to show the distribution of outlet inspection results by age and gender of the youth inspectors.

Instructions for Completing Form 5:

In the top right hand corner of the form, provide the State name and reporting Federal fiscal year (FFY2005).

Column 1: Enter the number of attempted buys by youth inspector age and gender.

Column 2: Enter the number of successful buys by youth inspector age and gender.

If the inspectors are age eligible but the gender of the inspector is unknown, include those inspections in the "OTHER" row. Calculate subtotals for males and females in rows marked SUBTOTALS. Sum SUBTOTALS for male, female, and OTHER and record in the bottom row marked TOTAL. Verify that that the TOTAL of attempted buys and successful buys equal the total for Column 4(c) and Column 5(c), respectively, on Form 1. If the totals do not match, please explain any discrepancies.

Synar Survey Inspector Characteristics		State _____
		FFY _____
	(1) Attempted Buys	(2) Successful Buys
<u>Male</u>		
14 yrs		
15 yrs		
16 yrs		
17 yrs		
18 yrs		
MALE SUBTOTAL		
<u>Female</u>		
14 yrs		
15 yrs		
16 yrs		
17 yrs		
18 yrs		
FEMALE SUBTOTAL		
OTHER		
TOTAL		

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APPENDIX B

STATE: _____

FFY: _____

SYNAR SURVEY SAMPLING METHODOLOGY

1. What type of sampling frame is used?

- ☒ List frame *(Go to Question 2)*
☐ Area frame *(Go to Question 3)*
☐ List-assisted area frame *(Go to Question 2)*

2. List all sources of the list frame. Indicate the type of source from the list below. Provide a brief description of the frame source. Explain how the lists are updated (method), including how new outlets are identified and added to the frame. In addition, explain how often the lists are updated (cycle). *(After completing this question, go to Question 4)*

Use the corresponding number to indicate Type of Source in the table below:

- | | |
|---|--|
| 1 – Statewide commercial business list | 4 – Statewide retail license/permit list |
| 2 – Local commercial business list | 5 – Statewide liquor license/permit list |
| 3 – Statewide tobacco license/permit list | 6 – Other |

Name of Frame Source	Type of Source	Description	Updating Method and Cycle

If an area frame is used, describe how area sampling units are defined and formed.

- a. Is any area left out in the formation of the area frame? ☐ Yes ☒ No

If Yes, what percentage of the State's population is not covered by the area frame?

_____ %

4. Federal regulation requires that vending machines be inspected as part of the Synar survey. Are vending machines included in the Synar survey?

- ☒ Yes ☐ No

If No, please indicate the reason they are not included in the Synar survey.

- ☐ State law bans vending machines

- ☐ State law bans vending machines from locations accessible to youth
- ☐ State has SAMHSA approval to exempt vending machines from the survey
- ☐ Other (please describe): _____

5. Which category below best describes the sample design? (Check only one)

- ☐ **Census** (STOP HERE: Appendix B is complete)

Unstratified State-wide sample:

- ☒ Simple random sample (go to Question 9)
- ☐ Systematic random sample (go to Question 6)
- ☐ Single-stage cluster sample (go to Question 8)
- ☐ Multi-stage cluster sample (go to Question 8)

Stratified sample:

- ☐ Simple random sample (go to Question 7)
- ☐ Systematic random sample (go to Question 6)
- ☐ Single-stage cluster sample (go to Question 7)
- ☐ Multi-stage cluster sample (go to Question 7)

- ☐ **Other** (please describe and go to Question 9): _____

6. Describe the systematic sampling methods. (After completing Question 6, go to Question 7 if stratification is used. Otherwise go to Question 9.)

7. Provide the following information about stratification

a. Provide a full description of the strata that are created.

b. Is clustering used within the stratified sample?

- ☐ **Yes** (go to Question 8)
- ☐ **No** (go to Question 9)

8. Provide the following information about clustering

a. Provide a full description of how clusters are formed. *(If multi-stage clusters are used, give definitions of clusters at each stage.)*

b. Specify the sampling method (simple random, systematic, or probability proportional to size sampling) for each stage of sampling and describe how the method(s) is (are) implemented.

9. Provide the formulae for determining the effective, target, and original outlet sample sizes.

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APPENDIX C

STATE: _____

FFY: _____

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SYNAR SURVEY INSPECTION PROTOCOL

Note: Attach a copy of the inspection form and protocol used to record the inspection result.

1. How does the State Synar survey protocol address the following?

a. Consummated buy attempts?

☒ Required

☐ Not Permitted

☐ Permitted under specified circumstances

☐ Not specified in protocol

b. Youth inspectors to carry ID?

☒ Required

☐ Not Permitted

☐ Permitted under specified circumstances

☐ Not specified in protocol

c. Adult inspectors to enter the outlet?

☐ Required

☐ Not Permitted

☐ Permitted under specified circumstances ☒ Not specified in protocol

d. Youth inspectors to be compensated?

☒ Required

☐ Not Permitted

☐ Permitted under specified circumstances ☒ Not specified in protocol

2. Identify the agency(s) or entity(s) that actually conduct the random, unannounced Synar inspections of tobacco outlets. (Check all that apply)

☒ Law enforcement agency(s)

☐ State or local government agency(s) other than law enforcement

☐ Private contractor(s)

☐ Other

List the agency name(s): _____

3. Are Synar inspections combined with law enforcement efforts (i.e., do law enforcement issue warnings or citations to retailers found in violation of the law at the time of the inspection)?

☐ Always ☐ Usually ☐ Sometimes ☐ Rarely ☒ Never

Section Break (Next Page)

4. Describe the methods used to recruit, select, and train youth inspectors and adult supervisors.

5. Are there specific legal or procedural requirements instituted by the State to address the issue of youth inspectors' immunity when conducting inspections?

a. Legal ☒ Yes ☐ No (If Yes, please describe):

b. Procedural ☒ Yes ☐ No (If Yes, please describe):

6. Are there specific legal or procedural requirements instituted by the State to address the issue of the safety of youth inspectors during all aspects of the Synar inspection process?

a. Legal ☒ Yes ☐ No (If Yes, please describe):

b. Procedural ☒ Yes ☐ No (If Yes, please describe):

7. Are there any other legal or procedural requirements the State has regarding how inspections are to be conducted (e.g., age of youth inspector, time of inspections, training that must occur)?

a. Legal ☐ Yes ☒ No (If Yes, please describe):

b. Procedural ☒ Yes ☐ No (If Yes, please describe):

STATE: _____

FFY: _____

List Sampling Frame Coverage Study
(LIST FRAME ONLY)

1. Calendar year of the coverage study: _____

2. Percent coverage found: _____ %
(Provide calculation of the percent coverage)

3. Provide a description of the coverage study methods and results.